

# PATENT COOPERATION TREATY

From the INTERNATIONAL SEARCHING AUTHORITY

# PCT

16.  
URQUHART-DYKES & LORD, LLP  
Attn: Cawdell, Karen Teresa  
Three Trinity Court  
21-27 Newport Road  
Cardiff CF24 0AA  
UNITED KINGDOM

NOTIFICATION OF TRANSMITTAL OF  
THE INTERNATIONAL SEARCH REPORT AND  
THE WRITTEN OPINION OF THE INTERNATIONAL  
SEARCHING AUTHORITY, OR THE DECLARATION

(PCT Rule 44.1)

Date of mailing  
(day/month/year)

07/06/2005

Applicant's or agent's file reference

FTC/P501643W

**FOR FURTHER ACTION**

See paragraphs 1 and 4 below

International application No

PCT/GB2965/000490

International filing date  
(day/month/year)

14/02/2005

Applicant

ICR SILICON COMPUNDS LTD

- 1 ☒ The applicant is hereby notified that the international search report and the written opinion of the International Searching Authority have been established and are transmitted herewith.

## Filing of amendments and statement under Article 19

The applicant is entitled, if he so wishes, to amend the claims of the International Application (see Rule 46).

**When?** The time limit for filing such amendments is normally 2 months from the date of transmittal of the International Search Report; however, for more details, see the notes on the accompanying sheet.

**Where?** Directly to the International Bureau of WIPO, 34 chemin des Colombettes  
1211 Geneva 20, Switzerland, Facsimile No. (41-22) 74 14 35

For more detailed instructions, see the notes on the accompanying sheet.

- 2 ☐ The applicant is hereby notified that no international search report will be established and that the declaration under Article 17(2)(a) to that effect and the written opinion of the International Searching Authority are transmitted herewith.

- 3 ☐ **With regard to the protest** against payment of (an) additional fee(s) under Rule 40.2, the applicant is notified that

☐ the protest together with the decision thereon has been transmitted to the International Bureau together with the applicant's request to forward the texts of both the protest and the decision thereon to the designated Offices

☐ no decision has been made yet on the protest; the applicant will be notified as soon as a decision is made.

## 4 Reminders

Shortly after the expiration of **18 months** from the priority date, the international application will be published by the International Bureau. If the applicant wishes to avoid or postpone publication, a notice of withdrawal of the international application, or of the priority claim, must reach the International Bureau as provided in Rules 90bis.1 and 90bis.3, respectively, before the completion of the technical preparations for international publication.

The applicant may submit comments on an informal basis on the written opinion of the International Searching Authority to the International Bureau. The International Bureau will send a copy of such comments to all designated Offices unless an international preliminary examination report has been or is to be established. These comments would also be made available to the public, but not before the expiration of 30 months from the priority date.

Within **19 months** from the priority date, but only in respect of some designated Offices, a demand for international preliminary examination must be filed if the applicant wishes to postpone the entry into the national phase until **30 months** from the priority date (in some Offices even later); otherwise, the applicant must, within **20 months** from the priority date, perform the prescribed acts for entry into the national phase before those designated Offices.

In respect of other designated Offices, the time limit of **30 months** (or later) will apply even if no demand is filed within 19 months.

See the Annex to Form PCT/IB/001 and, for details about the applicable time limits, Office by Office, see the PCT Applicants' Guide, Volume II, National Chapters and the WIPO Internet site.

Name and mailing address of the International Searching Authority

European Patent Office, P.O. Box 538 Patentpl. 2  
NL-2260 HV Rijswijk  
Tel. (+31-70) 340-2040, Tx. 31 551 800 re.  
Fax: (+31-70) 340-2040

Authorized officer

John Bakvis

## NOTES TO FORM PCT/ISA/220

These Notes are intended to give the basic instructions concerning the filing of amendments under article 19. The Notes are based on the requirements of the Patent Cooperation Treaty, the Regulations and the Administrative Instructions under that Treaty. In case of discrepancy between these Notes and those requirements, the latter are applicable. For more detailed information, see also the PCT Applicant's Guide, a publication of WIPO.

In these Notes, "Article", "Rule", and "Section" refer to the provisions of the PCT, the PCT Regulations and the PCT Administrative Instructions respectively.

### INSTRUCTIONS CONCERNING AMENDMENTS UNDER ARTICLE 19

The applicant has, after having received the international search report, one opportunity to amend the claims of the international application. It should however be emphasized that, since all parts of the international application (claims, description and drawings) may be amended during the international preliminary examination procedure, there is usually no need to file amendments of the claims under Article 19 except where, e.g. the applicant wants the latter to be published for the purposes of provisional protection or has another reason for amending the claims before international publication. Furthermore, it should be emphasized that provisional protection is available in some States only.

#### What parts of the international application may be amended?

Under Article 19, only the claims may be amended.

During the international phase, the claims may also be amended (or further amended) under Article 34 before the International Preliminary Examining Authority. The description and drawings may only be amended under Article 34 before the International Examining Authority.

Upon entry into the national phase, all parts of the international application may be amended under Article 28 or, where applicable, Article 41.

#### When?

Within 2 months from the date of transmittal of the international search report or 16 months from the priority date, whichever time limit expires later. It should be noted, however, that the amendments will be considered as having been received on time if they are received by the International Bureau after the expiration of the applicable time limit but before the completion of the technical preparations for international publication (Rule 46.1).

#### Where not to file the amendments?

The amendments may only be filed with the International Bureau and not with the receiving Office or the International Searching Authority (Rule 46.2).

Where a demand for international preliminary examination has been/is filed, see below.

#### How?

Either by cancelling one or more entire claims, by adding one or more new claims or by amending the text of one or more of the claims as filed.

A replacement sheet must be submitted for each sheet of the claims which, on account of an amendment or amendments, differs from the sheet originally filed.

All the claims appearing on a replacement sheet must be numbered in Arabic numerals. Where a claim is cancelled, no renumbering of the other claims is required. In all cases where claims are renumbered, they must be renumbered consecutively (Administrative Instructions, Section 205(b)).

The amendments must be made in the language in which the international application is to be published.

#### What documents must/may accompany the amendments?

Letter (Section 205(b)).

The amendments must be submitted with a letter.

The letter will not be published with the international application and the amended claims. It should not be confused with the "Statement under Article 19(1)" (see below, under "Statement under Article 19(1)").

The letter must be in English or French, at the choice of the applicant. However, if the language of the international application is English, the letter must be in English; if the language of the international application is French, the letter must be in French.

## NOTES TO FORM PCT/ISA/220 (continued)

The letter must indicate the differences between the claims as filed and the claims as amended. It must, in particular, indicate, in connection with each claim appearing in the international application (it being understood that identical indications concerning several claims may be grouped), whether:

- (i) the claim is unchanged,
- (ii) the claim is cancelled,
- (iii) the claim is new,
- (iv) the claim replaces one or more claims as filed,
- (v) the claim is the result of the division of a claim as filed

The following examples illustrate the manner in which amendments must be explained in the accompanying letter:

1. [Where originally there were 48 claims and after amendment of some claims there are 51]:  
"Claims 1 to 29, 31, 32, 34, 35, 37 to 48 replaced by amended claims bearing the same numbers, claims 30, 33 and 36 unchanged, new claims 49 to 51 added."
2. [Where originally there were 15 claims and after amendment of all claims there are 11]:  
"Claims 1 to 15 replaced by amended claims 1 to 11."
3. [Where originally there were 14 claims and the amendments consist in cancelling some claims and in adding new claims]:  
"Claims 1 to 6 and 14 unchanged, claims 7 to 13 cancelled, new claims 15, 16 and 17 added," or  
"Claims 7 to 13 cancelled, new claims 15, 16 and 17 added, all other claims unchanged."
4. [Where various kinds of amendments are made]:  
"Claims 1-10 unchanged, claims 11 to 13, 18 and 19 cancelled, claims 14, 15 and 16 replaced by amended claim 14, claim 17 subdivided into amended claims 15, 16 and 17, new claims 20 and 21 added."

### "Statement under article 19(1)" (Rule 46.4)

The amendments may be accompanied by a statement explaining the amendments and indicating any impact that such amendments might have on the description and the drawings (which cannot be amended under Article 19(1)).

The statement will be published with the international application and the amended claims.

**It must be in the language in which the international application is to be published.**

It must be brief, not exceeding 500 words if in English or if translated into English.

It should not be confused with and does not replace the letter indicating the differences between the claims as filed and as amended. It must be filed on a separate sheet and must be identified as such by a heading, preferably by using the words "Statement under Article 19(1)".

It may not contain any disparaging comments on the international search report or the relevance of citations contained in that report. Reference to citations, relevant to a given claim, contained in the international search report may be made only in connection with an amendment of that claim.

### Consequence if a demand for international preliminary examination has already been filed

If, at the time of filing any amendments under Article 19, a demand for international preliminary examination has already been submitted, the applicant must preferably, at the same time of filing the amendments with the International Bureau, also file a copy of such amendments with the International Preliminary Examining Authority (see Rule 52.2(a), first sentence).

### Consequence with regard to translation of the international application for entry into the national phase

The applicant's attention is drawn to the fact that, where upon entry into the national phase, a translation of the claims as amended under Article 19 may have to be furnished to the designated/selected Offices, instead of, or in addition to, the translation of the claims as filed.

For further details on the requirements of each designated/selected Office, see Volume II of the PCT Applicant's Guide.

## PATENT COOPERATION TREATY

## PCT

## INTERNATIONAL SEARCH REPORT

(PCT Article 18 and Rules 43 and 44)

Applicant's or agent's file reference KTC/P591543W		<b>FOR FURTHER ACTION</b>		see Form PCT/ISA/220 as well as, where applicable, item 5 below.
International application No. PCT/GB2005/006490	International filing date (day/month/year) 14/02/2005	Earliest Priority Date (day/month/year) 13/02/2004		
Applicant IQE SILICON COMPOUNDS LTD				

This International Search Report has been prepared by this International Searching Authority and is transmitted to the applicant according to Article 18. A copy is being transmitted to the International Bureau.

This International Search Report consists of a total of .....4..... sheets.

☒

It is also accompanied by a copy of each prior art document cited in this report.

## 1. Basis of the report

- a. With regard to the **language**, the international search was carried out on the basis of the international application in the language in which it was filed, unless otherwise indicated under this item.

☐

The international search was carried out on the basis of a translation of the international application furnished to this Authority (Rule 29.1(b)).

- b. ☐ With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, see Box No. I.

2. ☐ Certain claims were found unsearchable (See Box II).3. ☐ Unity of invention is lacking (see Box III).4. With regard to the **title**,
☒

the text is approved as submitted by the applicant.

☐

the text has been established by this Authority to read as follows:

5. With regard to the **abstract**,
☒

the text is approved as submitted by the applicant.

☐

the text has been established, according to Rule 38.2(b), by the Authority as it appears in Box No. IV. The applicant may, within one month from the date of mailing of this international search report, submit comments to this Authority.

6. With regard to the **drawings**,

- a. the figure of the **drawings** to be published with the abstract is Figure No. ... 1 ...

☒

as suggested by the applicant.

☐

as selected by this Authority, because the applicant failed to suggest a figure.

☐

as selected by this Authority, because this figure better characterizes the invention.

- b. ☐ none of the figures is to be published with the abstract

## INTERNATIONAL SEARCH REPORT

International Application No.  
PCT/GB2005/000490A. CLASSIFICATION OF SUBJECT MATTER  
IPC 7 H01L29/165 H01L21/20

According to International Patent Classification (IPC) to both date of classification and by:

## B. FIELDS SEARCHED

Maximum documentation considered (please show system followed by classification symbols)

IPC 7 H01L

Documentation searched other than maximum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

EPO-Internal, PAJ

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Criteria of documents, with indication, where appropriate, of the relevant passages	Relevant to claim to:
X	US 2002/017642 A1 (MIZUSHIMA KAZUKI ET AL) 14 February 2002 (2002-02-14)  paragraph '0047' - paragraph '0052'; figures 2,7	1,4,5, 7-13,16, 18
X	US 2002/125475 A1 (CHU JACK OON ET AL) 12 September 2002 (2002-09-12)  figure 3	1,4-10, 12,13, 16,18
X	WO 03/103031 A (UNIVERSITY OF WARWICK; CAPEWELL, ADAM, DANIEL; GRASBY, TIMOTHY, JOHN;) 11 December 2003 (2003-12-11) abstract; figure 2	1,4,5,7, 8,12-18

-/-

☒ Further documents are listed in the continuation of box C☒ Patent family members are listed in annex

## \* Special categories of cited documents:

- "A" document defining the general state of the art which is not considered to be of particular relevance;  
 "E" earlier document not published on or after the international filing date;  
 "I" document which may throw doubts on priority claims or which is cited to establish the publication date or another criterion or other special reason (see specification);  
 "O" document referring to an oral disclosure, use, exhibition or other means;  
 "P" document published prior to the international filing date but later than the priority date, if any;

- "X" non document publication after the international filing date or priority date and/or in conflict with the application but cited to underlie the principle of priority, underlying the invention;  
 "Y" document or particular reference the claimed invention cannot be considered to derive or cannot be considered to derive an inventive step when the document is taken alone;  
 "Z" document or particular reference, the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art;  
 "ZZ" document member of the same patent family

Date of the actual completion of the international search

19 May 2005

Date of mailing of the international search report

07/06/2005

Name and mailing address of the ISA

European Patent Office, P.O. Box 18, Patentstrasse 2  
 D-53556 Bonn, Germany  
 Tel. (+49) 228 349-2544, Fax (+49) 228 349-2545  
 Telex (+49) 228 349-2545

Authorizing officer

Bailliet, B

## INTERNATIONAL SEARCH REPORT

International Application No.

PCT/GB2005/000490

## C (Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	ROMANATO F ET AL: "Continuously graded buffers for InGaAs/GaAs structures grown on GaAs" JOURNAL OF CRYSTAL GROWTH, NORTH-HOLLAND, AMSTERDAM, NL. vol. 175-176, May 1997 (1997-05), pages 1009-1015, XP004091436 ISSN: 0022-0248 page 1011 - page 1014	1,2,4, 12-14, 16,18
X	PATENT ABSTRACTS OF JAPAN vol. 2003, no. 11. 5 November 2003 (2003-11-05) & JP 2003 197544 A (SUMITOMO MITSUBISHI SILICON CORP). 11 July 2003 (2003-07-11) abstract	1,3-5, 7-9,12, 13,15, 16,18

## INTERNATIONAL SEARCH REPORT

Information on patent family members

International Application No.

PCT/GB2005/000493

Patent document cited in search report		Publication date		Patent family member(s)	Publication date
US 2002017642	A1	14-02-2002	JP	2002118254 A	19-04-2002
			CN	1336684 A	20-02-2002
			DE	10137369 A1	25-04-2002
			TW	517284 B	11-01-2003
			TW	221311 B	21-09-2004
US 2002125475	A1	12-09-2002	US	6350993 B1	26-02-2002
			US	2004227154 A1	18-11-2004
			CN	1289149 A .C	28-03-2001
			DE	10011054 A1	21-09-2000
			IL	134674 A	12-05-2004
			JP	3457614 B2	20-10-2003
			JP	2000286413 A	13-10-2000
WO 03103031	A	11-12-2003	TW	498461 B	11-08-2002
			AU	2003251718 A1	19-12-2003
			WO	03103031 A2	11-12-2003
JP 2003197544	A	11-07-2003	EP	1509949 A2	02-03-2005
			EP	1447839 A1	18-08-2004
			WO	03015140 A1	20-02-2003
			TW	580727 B	21-03-2004
			US	2004251458 A1	16-12-2004